

SOUTH CAROLINA STATE ETHICS COMMISSION

5000 Thurmond Mall, Suite 250
Columbia, South Carolina 29201
803-253-4192 (Office)
(Revised: 2/2004)

LOBBYIST AND LOBBYIST'S PRINCIPAL MANUAL

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GENERAL INFORMATION

REPORTING DEADLINES

Registration

- Lobbyists - Within fifteen (15) days after being employed, appointed, or retained as a lobbyist.
- Lobbyist's Principals - Within fifteen (15) days after employing, appointing, or retaining a person to lobby. Prior to January 5th of each subsequent year.

Reporting

| DEADLINES | REPORTING PERIODS |
|------------------|--------------------------|
| June 30 | January 1 – May 31 |
| January 31 | June 1 – December 31 |

Changes

Reported within fifteen (15) days after any substantial change in registration information.

Termination of Lobbying

Immediately upon termination of lobbying with any reports due covering any unreported activity, except that the provisions of Sections 2-17-80 (A)(5), 2-17-80(B)(5), 2-17-80(C) and 2-17-110(F) continue in force for the remainder of the calendar year.

Public Information

These reports are a matter of public record and are available at the office of the State Ethics Commission. Lists are available containing all registered lobbyists and lobbyist's principals and their addresses. Each list costs \$2.00, or you may purchase the lists on diskette for \$5.00. Lists are also available containing disclosure totals for both lobbyists and lobbyist's principals for \$5.00.

LOBBYIST'S PRINCIPAL REGISTRATION

___ Re-registration ___ New registration ___ Amendment

SC State Ethics Commission, 5000 Thurmond Mall, Suite 250, Columbia, SC 29201 • (Office) 803/253-419
Calendar Year: _____

1. Full name of Entity employing Lobbyist: _____
(organization or the company that the lobbyist represents)
2. Business Mailing Address: _____ City _____ State _____ Zip _____
(P. O. Box preferred)
3. Business Phone: () _____
4. Entity contact person to whom lobbyist reports: (Mr.) (Mrs.) (Ms.) _____
5. Name of all persons engaged to lobby:

| LOBBYIST NAME | STREET ADDRESS | CITY | ST | ZIP | PHONE NO. |
|---------------|----------------|------|----|-----|-----------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

6. Legislation, Agency Actions, or Gubernatorial actions, to which employment relates:

7. Office(s) or Public Body(s) for which you have been authorized by the lobbyist's principal to lobby:

In accordance with Section 2-17-25(A), this registration must be accompanied by a check for \$100.00 payable to the State Ethics Commission prior to the lobbyist engaging in lobbying as defined in Section 2-17-10(12). Further, South Carolina law requires that the lobbyist must file a separate registration form and pay a fee of \$100.00.

As required by Section 2-17-20 (A), this signature reflects the authority of the above listed lobbyists to represent the above-named entity as lobbyist during the calendar year.

CERTIFICATION: I CERTIFY THAT THE CONTENTS OF THIS STATEMENT ARE TRUE, CORRECT, AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

Signature of Lobbyist's Principal Contact

Printed Name and Title

Date

OFFICE USE ONLY

Receipt Number: _____

___ Complete ___ Incomplete ___ Entered

LOBBYIST'S PRINCIPAL REGISTRATION INSTRUCTIONS

| | |
|--------------|--|
| WHO | A lobbyist's principal is a person or organization on whose behalf and for whose benefit a lobbyist engages in lobbying. |
| WHEN | (1) Within fifteen (15) days after employing, appointing, or retaining a lobbyist. (2) Re-register annually prior to January fifth (5 th). No person will be allowed to register or re-register who has not complied with required reporting provisions. |
| WHAT | A Lobbyist's Principal Registration Form, a fee of one hundred dollars (\$100.00), and a communication reflecting the authority of the employed, appointed, or retained lobbyist registrant to represent that lobbyist's principal. The Lobbyist's Principal shall disclose: (a) Identification of the lobbyist's principal to include the name, address, and telephone number. Identification of each person employed, appointed or retained by the lobbyist's principal to engage in lobbying. Identification by Subject Matter, Bill Number(s), Legislation, Agency, or Gubernatorial actions in which the lobbyist is engaged to lobby. If a partnership, committee, association, corporation, labor organization registers as a lobbyist's principal, then each person authorized to act as a lobbyist on behalf of the organization must be identified, registered and pay a fee of one hundred dollars (\$100.00/50). If the State is a lobbyist's principal, no registration is required. (Only the State Agency Lobbyist Registration Form is required.) |
| WHERE | Appropriate forms shall be filed with the State Ethics Commission at 5000 Thurmond Mall, Suite 250, Columbia, SC 29201, (803) 253-4192. Faxed copies will not be accepted. The original must be received no later than 5:00 p.m. on the date of the established deadline. |
| HOW | A Lobbyist's Principal Registration Form is completed. (See also the Lobbyist's Principal Disclosure) State Agencies are not required to register as Lobbyist's Principals. |

UPDATED INFORMATION

Any change in information contained in the registration statement must be filed within fifteen (15) days after the date of the change.

| RECORD KEEPING REQUIREMENTS | TERMINATION OF AUTHORIZATION | ITEM 8 |
|---|---|--|
| Records supporting the Lobbyist's Principal Disclosure Reports must be maintained for a period of four years from the date of the report to which they apply. These records shall be available to the State Ethics Commission for review. | Any lobbyist's principal who ceases to authorize lobbying by a specified lobbyist shall immediately file a written statement with the State Ethics Commission acknowledging the termination of this relationship with the lobbyist. The lobbyist's principal shall file any reports required for any period during which he/she was registered as a lobbyist's principal. | Identify specific office(s) or public body(s) for which you have authorized the lobbyist(s) to lobby. Failure to identify the public office(s) or body(s) for which lobbyist(s) is authorized to lobby deems the lobbyist's principal to have authorized a lobbyist for all public offices and public bodies of the State. |

LOBBYIST REGISTRATION

___ Re-registration ___ New registration ___ Amendment

SC State Ethics Commission, 5000 Thurmond Mall, Suite 250, Columbia, SC 29201 • (Office) 803/253-4192
Calendar Year: _____

1. Name of Lobbyist: (Mr.) (Mrs.) (Ms.) _____
2. Business mailing address: _____
3. Phone: () _____
4. Occupation or Business: _____
5. Full name of Employing Entity (association, company, etc.): _____
6. Employer Entity Contact to who lobbyist reports: (Mr.) (Mrs.) (Ms.): _____
7. Business mailing address: _____
8. Phone: () _____
9. Legislation, Agency Actions, or Gubernatorial actions, to which employment relates:

10. Office(s) or Public Body(s) for which you have been authorized by the lobbyist's principal to lobby:

In accordance with Section 2-17-20(A), this registration must be accompanied by a check for \$100.00 payable to the State Ethics Commission. Further, S. C. law requires that this registration be accompanied by a communication from the lobbyist's principal reflecting the authority to represent the principal during the calendar year. Completion of the Lobbyist's Principal registration form and payment of the additional fee of \$100.00 will satisfy this requirement.

CERTIFICATION: I CERTIFY THAT THE CONTENTS OF THIS STATEMENT ARE TRUE, CORRECT, AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

Signature of Lobbyist

Printed Name

Date

OFFICE USE ONLY

Receipt Number: _____

___ Complete ___ Incomplete ___ Entered

LOBBYIST REGISTRATION INSTRUCTIONS

| | |
|--------------|--|
| WHO | Any person who acts as a Lobbyist. If a partnership, committee, association, corporation, labor organization, or any other organization registers as a Lobbyist's Principal, then each person authorized to act as a lobbyist on behalf of the organization must be identified and registered. |
| WHEN | (1) Within fifteen days after being employed, appointed, or retained as a lobbyist. (2) Re-register annually prior to January fifth (5 th). No person will be allowed to register or re-register who has not complied with required reporting provisions. |
| WHAT | A Lobbyist Registration Form, a fee of one hundred dollars (\$100.00), and a communication from the person employing, appointing, or retaining the lobbyist reflecting the authority of the registrant to represent that employer. The Lobbyist's Principal Registration Form and a fee of \$100.00 is sufficient to satisfy this requirement. |
| WHERE | The Lobbyist shall file appropriate forms with the State Ethics Commission at 5000 Thurmond Mall, Suite 250, Columbia, SC 29201. Faxed copies will not be accepted. The original must be received no later than 5:00 p.m. on the date of the established deadline. |
| HOW | The Lobbyist completes a Lobbyist Registration Form. (See also the Lobbyist Disclosure Statement.) |

UPDATED INFORMATION

Any change in information contained in the registration statement must be filed within fifteen (15) days after the date of the change.

| | |
|-------------------------------------|---|
| RECORD KEEPING REQUIREMENTS | Records supporting the lobbying reports must be maintained for a period of four years from the date of the report to which they apply. These records shall be available to the State Ethics Commission for review. |
| TERMINATION OF AUTHORIZATION | Any lobbyist who ceases to engage in lobbying shall immediately file a written statement with the State Ethics Commission acknowledging the termination of lobbying, except that the provisions of Sections 2-17-80(A)(5), 2-17-80(B)(5), 2-17-80(C) and 2-17-110(F) continue in force for the remainder of the calendar year. The lobbyist shall file any reports required for any period during which he/she was registered to lobby. |
| ITEM 9 | Identify either specific or broad areas of legislation, agency, or gubernatorial actions to which lobbying relates. |
| ITEM 10 | Identify specific office(s) or public body(s) for which your retention as a lobbyist is authorized. Failure to identify the public office(s) or body(s) for which a lobbyist(s) is authorized to lobby deems the lobbyist's principal to have authorized a lobbyist for all public offices and public bodies of the State. |

South Carolina State Ethics Commission

5000 Thurmond Mall, Suite 250

Columbia, SC 29201

(803) 253-4192

TO BE COMPLETED ONLY IF YOU HAVE NEVER REGISTERED AS A LOBBYIST FOR THE STATE OF SOUTH CAROLINA. Return with your Lobbyist Registration Form to the South Carolina State Ethics Commission, 5000 Thurmond Mall, Suite 250, Columbia, SC 29201

If you are re-registering, DETACH THIS SHEET AND DISCARD

Mr. () Mrs. () Ms. ()

Name of Lobbyist:

Last Name

First Name

Middle Initial

Street Address

City

State

Zip

The following information is required for administrative purposes, **only for positive identification of the filer, and will not** be released to the public.

Social Security Number

| | | | | | | | | | | | |
|--|--|--|--|---|--|--|---|--|--|--|--|
| | | | | - | | | - | | | | |
|--|--|--|--|---|--|--|---|--|--|--|--|

Telephone Number

| | | | | | | | | | | | |
|--|--|--|---|--|--|--|---|--|--|--|--|
| | | | - | | | | - | | | | |
|--|--|--|---|--|--|--|---|--|--|--|--|

NOTE:

PLEASE COMPLETE THIS ENTIRE REPORT IN **BLUE** OR **BLACK** INK, OR **TYPE**.

DO NOT USE PENCIL

State Agency Lobbyist Registration

State Ethics Commission
5000 Thurmond Mall, Suite 250
Columbia, SC 29201

For Calendar Year: _____

NO FEE REQUIRED
(State Employee as Lobbyist)

1. Name of Lobbyist: Mr. () Mrs. () Ms. () _____
(Employee of State Agency)
2. Business mailing address: _____
3. Telephone Number: () _____
4. Legislation, Agency Actions, or Gubernatorial Actions to which employment relates:

LIST ALL CONTRACT LOBBYISTS HERE (Contract lobbyists must complete a Lobbyist Registration and pay \$100.00 fee)
(Not employed by the State of South Carolina)

| NAME | Business Address | Telephone |
|------|------------------|-----------|
| | | |
| | | |
| | | |
| | | |
| | | |

IMPORTANT NOTICE

South Carolina law requires that this registration be accompanied by a communication from the lobbyist principal reflecting the authority to represent the agency during the calendar year. As required by Section 2-17-20(A), the signature of the agency head reflects the authority of the registrant to represent the state agency as lobbyist. **No fees are required for employee of state agency serving as a lobbyist.**

I affirm that the information above is true and correct.

Name of Agency Head: _____ Signature of Agency Head: _____

Name of State Agency: _____

CERTIFICATION: I CERTIFY THAT THE CONTENTS OF THIS STATEMENT ARE TRUE, CORRECT, AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

Signature of Lobbyist

Printed Name

Date

OFFICE USE ONLY

Receipt Number: _____

___ Complete ___ Incomplete ___ Entered

STATE AGENCY LOBBYIST REGISTRATION INSTRUCTIONS

| | |
|--------------|--|
| WHO | Any full-time state employee who acts as a lobbyist for a State agency. |
| WHEN | (1) Within fifteen days after being employed, or retained as a lobbyist. (2) Reregister annually prior to January fifth (5th). No person will be allowed to register or reregister who has not complied with required reporting provisions. |
| WHAT | A State Agency Lobbyist Registration Form and a communication from the agency employing, appointing, or retaining the lobbyist reflecting the authority of the registrant to represent that agency. The State Agency Lobbyist Registration form is sufficient to satisfy this requirement. No fee is required. |
| WHERE | The lobbyist shall file appropriate forms with the State Ethics Commission at 5000 Thurmond Mall, Suite 250, Columbia, SC 29201, (803) 253-4192. Faxed copies will not be accepted. The original must be received no later than 5:00 p.m. on the date of the established deadline. |
| HOW | The lobbyist completes a State Agency Lobbyist Registration Form. State Agency Lobbyist must file a State Agency Lobbyist Registration Form; however, no registration fee is required of a lobbyist who is a full-time employee of a state agency and who limits his lobbying efforts on behalf of that particular state agency and whose only lobbying is before the General Assembly or any committee thereof. |

UPDATED INFORMATION

Any change in information contained in the registration statement must be filed within fifteen days after the date of the change.

| TERMINATION OF LOBBYING | ITEM 13 |
|---|--|
| Any lobbyist who ceases to engage in lobbying shall immediately file a written statement with the State Ethics Commission acknowledging the termination of lobbying, except that the provisions of Sections 2-17-80(A)(5), 2-17-80(B)(5), 2-17-80(C) and 2-17-110(F) continue in force for the remainder of the calendar year. The lobbyist shall file any reports required for any period during which he/she engaged in lobbying. | Identify specific office(s) or public body(s) for which your retention as a lobbyist is authorized. Failure to identify the public office(s) or body(s) for which a lobbyist(s) is authorized to lobby deems the lobbyist's principal to have authorized a lobbyist for all public offices and public bodies of the State. |

REPORTING PERIOD___ January 1 – May 31 (Due Jun 30th)___ June 1 – December 31 (Due Jan 31st)

___ Amendment

**LOBBYIST
DISCLOSURE STATEMENT****SC State Ethics Commission**, 5000 Thurmond Mall, Suite 250, Columbia, SC 29201 • (Office) 803/253-4192

(Pursuant to S. C. Code Section 2-17-30)

Calendar Year: _____ **NO FEES are required (Disclosure ONLY)**

1. Lobbyist Name: Mr. () Mrs. () Ms. () _____

2. Business street address: _____

3. Business mailing address: _____

4. Business Phone: () _____

5. Name of Lobbyist's Principal: _____

6. Name, number or description of Legislation, Agency Action or Gubernatorial Action for which lobbyist engaged during this reporting period:

_____7. Office(s) or Public Body(s) for which you have been authorized by the lobbyist's principal to lobby:

_____**SUMMARY OF INCOME AND EXPENDITURES**

| | |
|--|----|
| I. TOTAL INCOME RECEIVED FOR LOBBYINT (FROM Schedule A-Amount Received): | \$ |
| II. EXPENDITURES (from Schedules B & C): | \$ |
| A. Supplies (from Schedule B): | \$ |
| B. Rent (from Schedule B): | \$ |
| C. Utilities (from Schedule B): | \$ |
| D. Compensation of Support Personnel (from Schedule B): | \$ |
| E. Other Expenditures (from Schedule B): | \$ |
| F. Expenditures made on behalf of Judiciary (from Schedule C): | \$ |
| TOTAL OTHER EXPENDITURES: (II) | \$ |
| III. TOTAL (I & II) | \$ |

CERTIFICATIN: I CERTIFY THAT THE CONTENTS OF THIS STATEMENT ARE TRUE, CORRECT, AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF._____
Signature of Lobbyist_____
Printed Name_____
Date**OFFICE USE ONLY**

___ Complete ___ Incomplete ___ Entered

LOBBYIST DISCLOSURE INSTRUCTIONS

The Lobbyist Disclosure Statement is to be filed by each registered lobbyist prior to June 30 and January 31. Each report should encompass income received and expenditures made through May 31 and December 31, respectively.

The Lobbyist Disclosure Statement is to be filed with:

| | |
|--|--|
| State Ethics Commission 5000 Thurmond Mall, Suite 250 Columbia, SC 29201 (803) 253-4192 | Faxed copies will not be accepted. The original must be received no later than 5:00 p.m. on the date of the established deadline. |
|--|--|

SUMMARY OF INCOME AND EXPENDITURES

SCHEDULE A - TOTAL INCOME: Indicate the dates and amounts of income received or promised **to be paid** from the lobbyist principal for the reporting period. The totals should be disclosed on page 1.

SCHEDULED B - ITEMIZED EXPENDITURES: Indicate by category, the various expenditures made during the period. Categorize by supplies, rent, utilities, compensation of support personnel, and miscellaneous. The totals for each category should be reported for the period. The totals for each category should be reported on page 1.

SCHEDULE C - EXPENDITURES MADE ON BEHALF OF JUDICIARY: Schedule C should detail the date and name of the member(s) of the judiciary on whose behalf expenditures were made. The event at which such expenditures were made and at the amount should also be disclosed.

SCHEDULE D - DIRECT BUSINESS RELATIONSHIPS: Name any public official with who you are associated in any business venture and describe the nature of that business association.

The form is to be dated, signed, notarized, and presented at the office of the State Ethics Commission no later than June 30 and January 31. Late filings **will** be subject to late filing penalties.

SCHEDULE A – ITEMIZED INCOME

Page 2 of 2

| DATE | PROFESSIONAL FEES & REIMBURSEMENTS RECEIVED FROM OR PROMISED BY EMPLOYERS FOR THIS REPORTING PERIOD | AMOUNT RECEIVED | AMOUNT TO BE PAID |
|--------------|---|-----------------|-------------------|
| | | | |
| | | | |
| | | | |
| TOTAL INCOME | | | |

**Same amount as reported on Lobbyist's Principal Disclosure Report*

SCHEDULE B - ITEMIZED EXPENDITURES

| DATE | FULL NAME AND ADDRESS OF PAYEE OR BUSINESS | PURPOSE OF EXPENDITURE | AMOUNT |
|-------|--|------------------------|--------|
| | | | |
| | | | |
| | | | |
| TOTAL | | | |

SCHEDULE C - EXPENDITURES MADE ON BEHALF ON MEMBER(S) OF THE JUDICIARY:

| DATE | FULL NAME OF RECIPIENT | EVENT | AMOUNT |
|-------|------------------------|-------|--------|
| | | | |
| | | | |
| | | | |
| TOTAL | | | |

SCHEDULE D - DIRECT BUSINESS RELATIONSHIP:

| NAME OF PUBLIC OFFICIAL | TYPE OF BUSINESS ASSOCIATION |
|-------------------------|------------------------------|
| | |
| | |

PROHIBITIONS

Neither a lobbyist nor anyone acting on behalf of a lobbyist shall offer, solicit, facilitate, or provide to or on behalf of any public official or public employee: (1) lodging, (2) transportation, (3) entertainment, (4) food, meals, beverages, money, or any other thing of value, or (5) campaign contributions. § 2-17-80 (A).

Public officials and public employees are prohibited from accepting those items mentioned above. These items are not prohibited if given to a family member for love and affection. Emergency assistance given gratuitously and in good faith is not prohibited. § 2-17-80 (D).

Lodging, transportation, entertainment, food, meals, beverages, or any other thing of value which is furnished on the same terms or at the same expense to a member of the general public without regard to their official status may be accepted without violating the statute. § 2-17-80 (C).

Lobbyists are prohibited from accepting or soliciting compensation contingent in any manner upon the passage or defeat of any pending or proposed legislation, covered agency actions, or covered gubernatorial actions. § 2-17-110 (A).

A lobbyist may not cause the introduction of legislation, or covered agency or gubernatorial actions for the purpose of obtaining employment as a lobbyist to support or oppose the action. §2-17-110 (B).

A lobbyist may not serve as a member of a state board or commission. Any lobbyist serving as a member of a state board or commission before January 1, 1991 may continue to serve until the end of the current term to which appointed or elected. § 2-17-110 (D).

A lobbyist, including a lobbyist who is a former member of the General Assembly, may not enter the floor of either the House of Representatives or Senate unless invited by the membership of the respective chamber. § 2-17-110 (E).

A lobbyist or anyone acting on behalf of a lobbyist may not employ on retainer a public official or public employee, a member of their immediate family, or a firm or organization in which the public officeholder has an economic interest. A retainer is a payment for availability to perform services, rather than for actual services rendered. § 2-17-110 (G).

A lobbyist, or anyone acting on behalf of a lobbyist may not pay an honorarium to a public official or public employee. This does not prohibit the reimbursement of or expenditures for actual expenses for public officials for speaking engagements. § 2-17-110 (H).

A lobbyist or anyone acting on behalf of a lobbyist may not offer, facilitate, or provide a loan to or on behalf of a statewide constitutional officer or member of the General Assembly unless the lobbyist principal is a financial institution authorized to transact business in this State and makes the loan in the ordinary course of business. § 2-17-110 (I).

REPORTING PERIOD

____ January 1 – May 31 (Due Jun 30th)

____ June 1 – December 31 (Due Jan 31st)

____ Amendment

LOBBYIST'S PRINCIPAL DISCLOSURE STATEMENT

SC State Ethics Commission, 5000 Thurmond Mall, Suite 250, Columbia, SC 29201 • (Office) 803/253-4192

(Pursuant to S. C. Code Section 2-17-30)

Calendar Year: _____ **NO FEES are required (Disclosure ONLY)**

1. Lobbyist's Principal Name: _____
(company or organization)

2. Business street address: _____ City _____ State _____ Zip _____

3. Business mailing address: _____ City _____ State _____ Zip _____

4. Business Phone: () _____

5. Name of lobbyist's employed by lobbyist's principal: _____

6. Name, number or description of Legislation, Agency Action or Gubernatorial Action for which lobbyist engaged in lobbying during this reporting period: _____

7. Office(s) or Public Body(s) for which you have authorized the lobbyist(s) named above to lobby: _____

SUMMARY OF LOBBYING EXPENDITURES

| | |
|--|----|
| I. TOTAL PAID TO LOBBYISTS (from Schedule A-Amount Paid): | \$ |
| II. EXPENDITURES (from Schedules B-G): | \$ |
| A. Supplies (from Schedule B): | \$ |
| B. Rent (from Schedule B): | \$ |
| C. Utilities (from Schedule B): | \$ |
| D. Compensation of Support Personnel (from Schedule B): | \$ |
| E. Other Expenditures (from Schedule B): | \$ |
| F. Expenditures made on behalf of Public Official (from Schedule D): | \$ |
| G. Expenditures made on behalf of Judiciary (from Schedule D): | \$ |
| H. Speaking Engagements (from Schedule E): | \$ |
| I. Contributions (from Schedule F): | \$ |
| TOTAL OTHER EXPENDITURES: (II) | \$ |
| III. TOTAL: (I & II) | \$ |

CERTIFICATIN: I CERTIFY THAT THE CONTENTS OF THIS STATEMENT ARE TRUE, CORRECT, AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

Signature of Lobbyist's Principal Contact

Printed Name and Title

Date

OFFICE USE ONLY

____ Complete ____ Incomplete ____ Entered

LOBBYIST'S PRINCIPAL DISCLOSURE INSTRUCTIONS

The Lobbyist' Principal Disclosure Statement is to be filed by each registered lobbyist's principal prior to June 30 and January 31. Each report should encompass income paid and expenditures made through May 31 and December 31, respectively.

The Lobbyist's Principal Disclosure Statement is to be filed with:

State Ethics Commission
5000 Thurmond Mall, Suite 250
Columbia, SC 29201
(803) 253-4192

Faxed copies will not be accepted. The original must be received no later than 5:00 p.m. on the date of the established deadline.

SUMMARY OF INCOME AND EXPENDITURES

SCHEDULE A - TOTAL PAID TO LOBBYISTS: Indicate the dates and amounts of income paid or promised to be paid to each lobbyist registered on your behalf for the reporting period. The totals should be disclosed on page 1.

SCHEDULE B - ITEMIZED EXPENDITURES: Indicate by category, the various expenditures made during the period. Categorize by supplies, rent, utilities, compensation of support personnel, and miscellaneous. The totals for each category should be reported for the period. The totals for each category should be reported on page 1.

SCHEDULE C - EXPENDITURES MADE ON BEHALF OF PUBLIC OFFICIALS: Schedule C should detail the date and name of public officials on whose behalf expenditures were made, the event at which such expenditures were made, and the amount.

SCHEDULE D - EXPENDITURES MADE ON BEHALF OF JUDICIARY: Schedule D should detail the date and name of the member(s) of the judiciary on whose behalf expenditures were made. The event at which such expenditures were made and the amount should also be disclosed.

SCHEDULE E - SPEAKING ENGAGEMENTS: Schedule E should detail the date and name of public officials or public employees on whose behalf expenditures were made for a speaking engagement. The event at which such expenditures were made and the amount should also be disclosed.

SCHEDULE F - CONTRIBUTIONS TO PUBLIC OFFICIALS: Schedule F should detail any campaign contributions made to a public official or candidate for public office to include the date, the candidate's full name and address, and the amount of such contribution(s).

SCHEDULE A – TOTAL PAID TO LOBBYISTS

| DATE | PROFESSIONAL FEES & REIMBURSEMENTS PAID OR PROMISED TO LOBBYISTS FOR THIS REPORTING PERIOD | AMOUNT PAID | AMOUNT TO BE PAID |
|--|--|-------------|-------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| TOTAL PAID OR PROMISED TO LOBBYISTS | | | |

**Must equal amount in I (TOTAL PAID TO LOBBYIST on page 1)*

SCHEDULE B - ITEMIZED EXPENDITURES

| DATE | FULL NAME AND ADDRESS OF PAYEE OR BUSINESS | PURPOSE OF EXPENDITURE | AMOUNT |
|---------------------|--|------------------------|--------|
| | | | |
| | | | |
| | | | |
| | | | |
| TOTAL AMOUNT | | | |

SCHEDULE C - EXPENDITURES MADE ON BEHALF OF PUBLIC OFFICIAL

| DATE | FULL NAME OF RECIPIENT | EVENT | AMOUNT |
|---------------------|------------------------|-------|--------|
| | | | |
| | | | |
| | | | |
| TOTAL AMOUNT | | | |

SCHEDULE G - AMOUNTS PAID TO ANY VOLUNTARY MEMBERSHIP ORGANIZATION:

Schedule G should be completed only by a membership organization. Information must be provided concerning any member if that member contributed more than \$500 **and** more than 20% of the total contributions received by that organization during the calendar year. The dates of contribution(s), and the name, address, and amount are to be disclosed.

SCHEDULE H - DIRECT BUSINESS RELATIONSHIP: Schedule H provides for disclosure of any business association by a public official or public employee with the lobbyist principal. The full name of the public official or public employee and the nature of that business association are to be disclosed. A direct business association does not include ownership in a corporation or partnership unless the interest of each exceeds 5% nor does it include commercial transactions in which the fair market value of the goods or services is paid.

The form is to be dated, signed, and notarized and presented at the office of the State Ethics Commission no later than June 30 and January 31. Late filings will be subject to late filing penalties.

A person is considered a lobbyist's principal only as it relates to the public office or public body to which he has authorized a lobbyist to engage in lobbying.

PROHIBITIONS

(Section 2-17-90)

A lobbyist's principal may provide lodging, transportation, entertainment, food, meals, beverages, or an invitation to a function, if invitees include:

- (1) all members of the General Assembly or either chamber;
- (2) all members of a committee, subcommittee, joint committee, legislative delegation, or county legislative delegation of which the legislator is a member;
- (3) public officials if all members of the agency board or commission are invited;
- (4) public employees if a public official of that employee's agency is invited;
- (5) public employees of a Constitutional officer if all Constitutional officers are invited;
- (6) a Constitutional officer;
- (7) public officials or public employees in matters reasonably and directly related to state and local economic development efforts, if prior written approval is obtained from:
 - (a) the Governor, in the case of public employees or officials of state agencies, except those noted below;
 - (b) statewide constitutional officer, for himself and his employees;
 - (c) President Pro Tempore of the Senate, in the case of any members of the Senate and Senate Employees;
 - (d) Speaker of the House, in the case of members of the House and House employees.
- (8) cabinet officers, if all cabinet officers are invited.

Any lodging, transportation, entertainment, food, meals, or beverages received by the above public officeholder from a lobbyist's principal may not exceed fifty dollars in a day and four hundred dollars in a calendar year.

SCHEDULE D – EXPENDITURES MADE ON BEHALF OF MEMBER OF JUDICIARY:

| DATE | FULL NAME OF RECIPIENT | EVENT | AMOUNT |
|--------------|------------------------|-------|--------|
| | | | |
| | | | |
| TOTAL AMOUNT | | | |

SCHEDULE E - SPEAKING ENGAGEMENTS:

| DATE | NAME OF RECIPIENT | ADDRESS | AMOUNT |
|--------------|-------------------|---------|--------|
| | | | |
| | | | |
| TOTAL AMOUNT | | | |

SCHEDULE F - CONTRIBUTIONS

| DATE | NAME OF PUBLIC OFFICIAL/CANDIDATE | ADDRESS | AMOUNT |
|--------------|-----------------------------------|---------|--------|
| | | | |
| | | | |
| TOTAL AMOUNT | | | |

SCHEDULE G - VOLUNTARY MEMBERSHIP ORGANIZATION:

| DATE | NAME OF MEMBER | ADDRESS | AMOUNT |
|------|----------------|---------|--------|
| | | | |
| | | | |

SCHEDULE H - DIRECT BUSINESS RELATIONSHIP

| NAME OF PUBLIC OFFICIAL | TYPE OF BUSINESS ASSOCIATION |
|-------------------------|------------------------------|
| | |
| | |

The value of lodging, transportation, entertainment, food, meals, or beverages received must be disclosed on the officeholder's Statement of Economic Interests. The lobbyist's principal shall disclose all expenses associated with providing the lodging, transportation, entertainment, food, meals, or beverages.

Disclosures required which would compromise the confidentiality of state or local economic development projects shall be reported as confidential. Prior written approval shall be obtained from the appropriate approving authority. Copies of the approval and the confidential disclosure shall be filed with the State Ethics Commission and the lobbyist's principal involved. This information shall be confidential and not available for public disclosure until such time as the approving authority determines that such disclosure is appropriate.

The restrictions provided by this provision are not applicable if the public officeholder accepts the invitation from the lobbyist's principal and pays the fair market or face value for his lodging, transportation, entertainment, food, meals, or beverages.

Lobbyist's principals are prohibited from employing, appointing, or retaining a lobbyist for compensation contingent in any manner upon the passage or defeat or any pending or proposed legislation, covered agency actions, or covered gubernatorial actions.

A lobbyist's principal or anyone acting on behalf of a lobbyist's principal may not employ or retain a public official or public employee, a member of their immediate family, or a firm or organization in which the public officeholder has an economic interest. A retainer is a payment for availability to perform services, rather than for actual services rendered.

A lobbyist's principal or anyone acting on behalf of a lobbyist's principal may not pay an honorarium to a public official or public employee. This does not prohibit the reimbursement of or expenditure for actual expenses for a public official or public employee for speaking engagements.

A lobbyist's principal may not offer, facilitate, or provide a loan to or on behalf of a statewide constitutional officer or member of the General Assembly unless the lobbyist's principal is a financial institution authorized to transact business in this State and makes the loan in the ordinary course or business.

STATE ETHICS COMMISSION
RATING ENTITY REGISTRATION FORM

To be filed not later than April 1 of each year, pursuant to S. C. Code Section 2-17-45

1. Name of Entity: _____

2. Mailing Address: _____
(P. O. Box) (City) (State) (Zip)

3. Telephone Number: (____) _____

4. Officers and Directors:

| Name | Title |
|------|-------|
| | |
| | |
| | |
| | |
| | |

5. Entity Members who are Members of the General Assembly:

| Name | Title |
|------|-------|
| | |
| | |
| | |
| | |

6. Entity Members who are lobbyists or lobbyist's principals:

| Name | Title |
|------|-------|
| | |
| | |
| | |
| | |

CERTIFICATION: I certify that the contents of this statement are true, correct, and complete to the best of my knowledge and belief.

Date _____ Signature _____

OFFICE USE ONLY

____ Complete ____ Incomplete ____ Entered

DATE RECEIVED BY THE STATE ETHICS COMMISSION

(Rev. 2/27/04)

ENTITIES WHICH RANK OR RATE

| | |
|-------------|---|
| WHO | <p>Any organization or group which ranks or rates the Governor, Lieutenant Governor, or member of committee of the General Assembly as to any action, vote, or failure to act or vote if such rankings or ratings are disseminated to the general public.</p> <p>Exceptions:</p> <p>Any entity whose primary business is</p> <ul style="list-style-type: none">(1) the publication of a newspaper or other periodical;(2) production of electronic media programming;(3) a private membership organization which disseminates its rankings or ratings only to its own membership. |
| WHAT | <p>A form developed by the State Ethics Commission and in accordance with established procedures.</p> |
| WHEN | <p>Annually, no later than April.</p> |

PUBLIC OFFICEHOLDERS

The Governor, Lieutenant Governor, Constitutional officers, members of the General Assembly, directors and deputy directors of state agencies appointed by the Governor, and members of their immediate family are prohibited from serving as a lobbyist during the official's term and for one year after such public service ends. This prohibition applies to the Governor, Lieutenant Governor, and Constitutional officers elected after December 31, 1993. The prohibition applies to members of the General Assembly elected after December 31, 1991.

No public official may solicit a lobbyist, lobbyist's principal, or anyone acting on their behalf to host a fund-raising event for the public official.

Public officials and public employees are prohibited from accepting anything of value for speaking in an official capacity before a private or public group. Public employees may be reimbursed by their agencies. A public official may be reimbursed for actual "reasonable and necessary" expenses incurred in giving such a speech. Both the lobbyist's principal and the public official must disclose the payment or reimbursement of such expenses. Out of state expenses reimbursements must be approved in writing in advance by: (1) the Governor for any officials other than legislators and Constitutional officers, (2) Constitutional officers must approve their own reimbursement, (3) President Pro Tempore of the Senate for Senators, and (4) the Speaker of the House for members of the House of Representatives.

PENALTIES

Any prosecution for a violation of the lobbying statutes must be commenced no later than four years from the date of the alleged violation, unless the person, by fraud or other device, prevents discovery of the violation.

Late filing penalty - a civil penalty of one hundred dollars (\$100) if not filed within ten days after established deadline; ten dollars (\$10) for each additional day that a form is late, not to exceed five hundred dollars (\$500).

Filing of the late form and payment of the fine within twenty days after notification by the State Ethics Commission constitutes compliance. Payment of the fine without filing of the required report does **not** meet the filing requirements.

A lobbyist indicted for a violation of the lobbying statutes will be immediately suspended from acting as a lobbyist by the State Ethics Commission. The suspension remains in effect until the lobbyist is either acquitted, the charge is dismissed, or is found guilty or pleads guilty to violations of the lobbying statute.

Violations of the lobbying statute are misdemeanors. Upon conviction, a lobbyist or lobbyist's principal must be fined not more than two thousand five hundred dollars (\$2,500) or imprisoned for not more than one year, or both.

Any lobbyist or lobbyist's principal convicted of, or pleading guilty or nolo contendere to the lobbying statute is barred from acting as a lobbyist or lobbyist's principal for a period of three years from the date of the conviction.

Any member of the General Assembly, the Governor, Lieutenant Governor, Constitutional Officer, or public official or public employee who wilfully violates the lobbying statute is guilty of a misdemeanor and, upon conviction, must be fined not more than two thousand five hundred dollars (\$2,500) or imprisoned for not more than one year, or both.

AUDIT POLICY AND PROCEDURES

The Commission has adopted an audit policy to enable all forms and statements filed with the Commission to be audited. Three types of audits may be conducted:

1. Filing Audit - to determine that required forms have been filed and that such forms or statements are accurate and complete.
2. Desk Audit - more formal review of forms or statements to determine if violations have occurred or if complete information is not provided.
3. Field Audit - an in-depth examination of accounts and documents supporting information filed on the reports or statements.

The filing audit is conducted on all reports or statements filed with the Commission.

The desk audit and field audit may be conducted at the discretion of the Commission:

1. When requested by the individual involved;
2. When requested by the Commission members;
3. When needed for information purposes;
4. When an advisory opinion has been requested; or
5. When a complaint has been filed.

The results of a desk audit or field audit will be presented to the Commission for information purposes.

PUBLIC INFORMATION POLICY

All forms and statements filed with the State Ethics Commission are public information open for public inspection upon request. Reports and statements filed with the State Ethics Commission are available for viewing at the Commission office Monday through Friday, except holidays, from 8:00 a.m. to 5:00 p.m.

Copies of the forms and statements are available from the Commission at a charge of \$.50 cents per page.

Copies may be obtained in person or a request form may be obtained from the Commission office.

DEFINITIONS

'Anything of value' or 'thing of value' means:

- (i) a pecuniary item, including money, a bank bill, or a bank note;
- (ii) a promissory note, bill of exchange, an order, a draft, warrant, check, or bond given for the payment of money;
- (iii) a contract, agreement, promise, or other obligation for an advance, a conveyance, forgiveness of indebtedness, deposit, distribution, loan, payment, gift, pledge, or transfer of money;
- (iv) a stock, bond, note, or other investment interest in an entity;
- (v) a receipt given for the payment of money or other property;
- (vi) a chose-in-action;
- (vii) a gift, tangible good, chattel, or an interest in a gift, tangible good, or chattel;
- (viii) a loan or forgiveness of indebtedness;
- (ix) a work of art, an antique, or a collectible;
- (x) an automobile or other means of personal transportation;
- (xi) real property or an interest in real property, including title to realty, a fee simple or partial interest in realty including present, future, contingent, or vested interests in realty, a leasehold interest, or other beneficial interest in realty;
- (xii) an honorarium or compensation for services;
- (xiii) a promise or offer of employment;
- (xiv) any other item that is of pecuniary or compensatory worth to a person.

'Anything of value' or 'thing of value' does not mean:

- (i) printed information or promotional material, not to exceed ten dollars in monetary value;
- (ii) items of nominal value, not to exceed ten dollars, containing or displaying promotional material;
- (iii) a personalized plaque or trophy with a value that does not exceed one hundred fifty dollars;
- (iv) educational material of a nominal value directly related to the public official's, public member's, or public employee's official responsibilities;
- (v) an honorary degree bestowed upon a public official, public member, or public employee from a public or private university or college;
- (vi) promotional or marketing items offered to the general public on the same terms and conditions without regard to status as a public official or public employee; or
- (vii) a campaign contribution properly received and reported under the provisions of Chapter 13 of Title 8.

'Covered agency actions' means the proposal, drafting, development, consideration, amendment, withdrawal, or promulgation of a regulation under Article 1, Chapter 23 of Title 1 of the 1976 Code.

'Covered gubernatorial actions' means:

- (a) gubernatorial approval or veto of legislation;
- (b) gubernatorial consideration or issuance of any executive order;
- (c) gubernatorial consideration or making of any appointment; or

(d) gubernatorial consideration of or the decision to award any grant derived from federal or other funds or from any source.

'Economic interest' means an interest distinct from that of the general public in a purchase, sale, lease, contract, option, or other transaction or arrangement involving property or services in which a public official or public employee may gain an economic benefit of fifty dollars or more.

This definition does not prohibit a public official or public employee from participating in, voting on, or influencing or attempting to influence an official decision if the only economic interest or reasonably foreseeable benefit that may accrue to the public official or public employee is incidental to the public official's or public employee's position or which accrues to the public official or public employee as a member of a profession, occupation, or large class to no greater extent than the economic interest or potential benefit could reasonably be foreseen to accrue to all other members of the profession, occupation, or large class.

'Expenditure' means a purchase, payment, loan, forgiveness of a loan, an advance, in-kind contribution or expenditure, a deposit, transfer of funds, gift of money or anything of value for any purpose, and a payment to a lobbyist for compensation, for expenses, or lobbying, including the direct payment of expenses incurred at the request or suggestion of a lobbyist.

'Family member' means an individual who is:

- (a) the spouse, parent, brother, sister, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild; or
- (b) a member of the individual's immediate family.

'Immediate family' means:

- (a) a child residing in a public official's or public employee's household;
- (b) a spouse of a public official or public employee; or
- (c) an individual claimed by the public official or public employee or the public official's or public employee's spouse as a dependent for income tax purposes.

'Individual' means one human being.

'Income' means the receipt of promise of any consideration, whether or not legally enforceable, including attorney's fees attributable to lobbying.

'Legislation' means:

- (a) bills, resolutions, amendments, reports, legislative acts, vetoes, nominations, rules, and regulations pending or proposed in either the House or Senate;
- (b) any other matter which may be the subject of action by either house; or
- (c) the appointment of committees of conference and free conference by the Speaker of the House of Representatives or the President of the Senate.

'Legislative caucus' means:

- (a) a committee of either house of the General Assembly controlled by the caucus of a political party or a caucus based upon racial or ethnic affinity, or gender;

(b) a party or group of either house of the General Assembly based upon racial or ethnic affinity, or gender. However, each house may establish only one committee for each racial-, ethnic-, or gender-based affinity.

'Lobbying' means promoting or opposing through direct communication with public officials or public employees:

- (a) the introduction or enactment of legislation before the General Assembly or the committees or members of the General Assembly;
- (b) covered gubernatorial actions;
- (c) covered agency actions;
- (d) consideration of the election or appointment of an individual to a public office elected or appointed by the General Assembly.

'Lobbying' does not include the activities of a member of the General Assembly, a member of the staff of a member of the Senate or House of Representatives, the Governor, the Lieutenant Governor, or a member of the executive staff of the Governor or Lieutenant Governor, or a member of the executive staff of the Governor or Lieutenant Governor acting in his capacity as a public official or public employee with regard to his public duties.

'Lobbyist' means any person who is employed, appointed, or retained, with or without compensation, by another person to influence by direct communication with public officials or public employees: (i) the action or vote of any member of the General Assembly, the Governor, the Lieutenant Governor, or any other statewide constitutional officer concerning any legislation; (ii) the vote of any public official on any state agency, board, or commission concerning any covered agency actions; or (iii) the action of the Governor or any member of his executive staff concerning any covered gubernatorial actions. 'Lobbyist' also means any person who is employed, appointed, or retained, with or without compensation, by a state agency, college, university, or other institution of higher learning to influence by direct communication with public officials or public employees: (i) the action or vote of any member of the General Assembly, the Governor, the Lieutenant Governor, or any other statewide constitutional officer concerning any legislation; (ii) the vote of any public official of any state agency, board, or commission concerning any covered actions; or (iii) the action of the Governor or any member of his executive staff concerning any covered gubernatorial actions.

'Lobbyist' does not include:

- (a) an individual who receives no compensation to engage in lobbying and who expresses a personal opinion on legislation, covered gubernatorial actions, or covered agency actions to any public official or public employee;
- (b) a person who appears only before public sessions of committees or subcommittees of the General Assembly, public hearings of state agencies, public hearings before any public body of a quasi-judicial nature, or proceedings of any court of this state;
- (c) any duly elected or appointed official or employee of the State, the United States, a county, municipality, school district, or a political subdivision thereof, or a member of the judiciary when appearing solely on matters pertaining to his office and public duties unless lobbying constitutes a regular and substantial portion of such official's or employee's duties;

- (d) a person performing professional services in drafting legislation or in advising and rendering opinions to clients as to the construction and effect of proposed or pending legislation;
- (e) a person who owns, publishes, or is employed by a radio station, television station, wire service, or other bona fide news medium which in the ordinary course of business disseminates news, editorials, columns, other comments, or other regularly published periodicals if such person represents no other person in lobbying for legislation, covered agency actions, or covered gubernatorial actions. This exception applies to the publication of any periodical which is published and distributed by a membership organization to its subscribers at least twelve times annually and for which an annual subscription charge of at least one dollar fifty cents a subscriber is made;
- (f) a person who represents any established church solely for the purpose of protecting the rights of the membership of the church or for the purpose of protecting the doctrines of the church or on matters considered to have an adverse effect upon the moral welfare of the membership of the church;
- (g) a person who is running for office elected by the General Assembly or a person soliciting votes on the behalf of a person who is running for office elected by the General Assembly unless such person is otherwise defined as a lobbyist by this section; or
- (h) an individual who receives no compensation to engage in lobbying and who does not make expenditures or incur obligations for lobbying in an aggregate amount in excess of five hundred dollars in a calendar year.

'Lobbyist's principal' means the person on whose behalf and for whose benefit the lobbyist engages in lobbying and who directly employs, appoints, or retains a lobbyist to engage in lobbying. However, a lobbyist's principal does not include a person who belongs to an association or organization that employs a lobbyist, nor an employee, officer, or shareholder of a person who employs a lobbyist. If a membership association or organization is a lobbyist's principal, the association or organization must register and report under the provisions of this chapter.

'Person' means an individual, a partnership, committee, an association, a corporation, labor organization, or any other organization or group of persons.

'Public body' means the General Assembly, the Executive Office of the Governor, any department of the State, or any state board, commission, agency, or authority, including committees of any such body, by whatever name known.

'Public employee' means any person employed by the State.

'Public official' means any elected or appointed official of the State, including candidates for any such office. However, 'public official' does not mean a member of the judiciary.

'Voluntary membership organization' means an organization composed of persons who are members thereof on a voluntary basis and who, as a condition of membership, are required to make regular payments to the organization.